

# 2011

## Caltrans

### Excellence in Partnering Award

#### Application

August 2010 version

<http://www.dot.ca.gov/hq/construc/partnering.html>



### **Background**

The Caltrans Excellence in Partnering Award is an annual statewide recognition of completed partnered contracts that best optimize principles of partnering. The main purpose is to celebrate success, share lessons learned of best practices, and honor all contract stakeholders.

### **Eligibility**

Completed partnered construction contracts with PFE and Exceptions to the PFE (if any) dated within October 2009 and September 2010.

### **Recognition Levels**

I.	Nominee	(0 – 74 points)
II.	Bronze	(75 – 79 points)
III.	Silver	(80 – 89 points)
IV.	Gold	(90 – 100+ points)

### **Criteria**

Caltrans Excellence in Partnering Awards are judged on both objective and subjective criteria. Applications will be scored by a team composed of Caltrans construction managers and industry senior executives.

## **Directions**

1. Applications must be **TYPED** and completed fully. Fill out a separate application for each project nominated.
2. **The text for all sections (I through VI) may have a combined total of no more than 2000 words.** The word count is to be filled in for each section as requested and the combined total supplied in the Total Word Count space. The "word count" feature in Microsoft Word (under the tools menu) may be used to count words. **Applications will be rejected if they exceed the 2,000-word count maximum.** It is preferable that your input text be in color, such as blue or red. The word count limit applies only to the text you have added and NOT the existing application form text.
3. A **maximum** of **five** additional supporting pages (8 1/2 inches by 11 inches, **one side only**) beyond the specifically requested items may be attached to the application. Supporting pages can include text, photographs, charts, graphs or appropriate tables to highlight results. More than **five** additional pages will **NOT** be accepted. Entries become the property of Caltrans Division of Construction, and will not be returned. (The Partnering Charter, Dispute Resolution Ladder, and any other specifically requested items within this application are not counted.)
4. An electronic version of this application is available for applicants; however, **nominations must be submitted in a hard copy (six copies per entry) on 8.5x11 paper with no separator tabs.** Applicants are encouraged to retain the computer files for future use.
5. Submit a total of **six typed color copies** of each entry (application plus attachments) to the Caltrans District Construction Office in your area.
  - Mail via U.S. Mail postmarked on or before **October 15, 2010** or
  - Hand deliver to District Construction Office on or before **5:00 p.m. on October 15, 2010** (must be received and date stamped by District Construction Office).**No other form of delivery will be accepted (fax, internal mail, e-mail, etc.).**
6. All applications must be signed by the Resident Engineer of the nominated project and the prime contractor equivalent in the "Nomination Submitted by" portion.
7. In order to give all contract applications the same opportunity, applications that do not follow the above rules and format, or are received after the deadline, will not be considered for awards.
8. All six copies of each entry for contract recognition must be received by Headquarters Division of Construction by close of business on **October 22 or the next closest business day if falling on a non-work day.** All applications must be submitted directly by the Deputy District Director of Construction of the nominated project's district to:  
Partnering Program  
Division of Construction, MS 44  
Sacramento, CA 95814

**Note:** The judges look carefully at the responses to questions. Direct, pointed answers to questions without rhetoric are desired. Supporting facts and documents are very helpful. Please do **not** leave out requested information as it affects the overall score. To help the judges give you maximum credit, please reference any related attachments in each response, and label each attachment with the question(s)/section(s) it supports.




# CONTRACT INFORMATION

<b>Project Name:</b>	<b>I-238 Widening and Rehabilitation</b>
<b>Project Description:</b>	<b>Reconstruction and Widening of I-238 between and its interchanges with I-880 and I-580 - including 3 new bridges, 14 bridge widenings and 12 retaining walls - increasing the total lanes from 4 to 6 + auxiliary lanes.</b>
<b>Location:</b>	<b>I-238 between Hwy 880 and 580, Alameda County, CA.</b>
<b>District-EA:</b>	<b>04-249044</b>

## Nomination Submitted By:

The undersigned nominate this project for consideration of the Caltrans Excellence in Partnering Award.

Caltrans signature

 10/18/10  
**Bharat Patel**  
 Caltrans, Senior Resident Engineer

Date

Prime contractor signature

 10/15/2010  
**Robert Ferrouge**  
 Flatiron, Project Manager

Date

## Caltrans:

Caltrans Project Partnering Lead on this project (Name and Title):

**Bharat Patel - Senior Resident Engineer, District 4**

Address: **25100 Santa Clara Street Hayward, CA 94544**

Office Phone Number: **510-670-4913**

Cell Phone Number: **650-222-7521**

Email Address: **bharat\_patel@dot.ca.gov**

List other Caltrans Team Members involved in Project Partnering (Name and Title):

**Inderjit Chadha – Structures Representative**

**Richard Maurer – Office Engineer**

**Eddie Dike – Senior Inspector**

**Harpal Chahal – Senior Inspector**

**Neil Behniwal – Senior Inspector**

**Hossein Shama – Senior Electrical Inspector**

**Rubin Woo – Project Manager**

**Stephan Williams – Public Relations**

**Matt Harizal – Structures**

**Maurice El Hage – Constr Chief**

## Prime Contractor:

Contractor Project Partnering Lead on this project (Name, Title, and Company):

**Tony Inocencio , Area Manager, Flatiron**

Address: **2100 Goodyear Road, Benicia, CA 94510**

Office Phone Number: **707-742-6000**

Cell Phone Number: **707-310-2213**

Email Address: **ainocencio@flatironcorp.com**

List other Contractor Team Members involved in Project Partnering (Name and Title):

**Robert Ferrouge – Project Manager**

**Dan Sherlock – Superintendent**

**Fred Cargile – Superintendent**

**Eduardo Madrid – Project Engineer**

**Edmundo Salgado – Project Engineer**

**Mick Wilson – Superintendent**

**Alan Badillo – Superintendent**

**Johnnie Modica – Project Engineer**

**Duwayne Bahnsen – Safety Manager**

<b>Other External Stakeholders:</b>	<p>List Subcontractor, Supplier, and/or any other Stakeholder Team Members involved in Project Partnering (Name, Title, Organization, Email Address and Phone Number):</p> <p>Michele Bellows, Project Coordinator, Alameda County Transportation Improvement Authority (ACTIA), <a href="mailto:mbellows@envirotranssolutions.com">mbellows@envirotranssolutions.com</a>, 510-267-6114</p> <p>Johnny Kuo, Designer, Parsons Brinckerhoff, <a href="mailto:kuojo@pbworld.com">kuojo@pbworld.com</a>, 415-243-4683</p> <p>Wayne Toring, CPM Scheduler, Mendoza &amp; Associates, for ACTIA, <a href="mailto:wtoring@mendoza-associates.com">wtoring@mendoza-associates.com</a>, 510-376-4926</p> <p>Richard Mendoza, Principle, of Mendoza &amp; Associates, for ACTIA, <a href="mailto:rrichardson@mendoza-associates.com">rrichardson@mendoza-associates.com</a>, 510-715-8840</p> <p>David Franco, PE, S&amp;C Engineers, Inc., for Caltrans, 510-774-6507</p> <p>John Fu, BART Construction Liaison, Bay Area Rapid Transit (BART), <a href="mailto:sfu@bart.gov">sfu@bart.gov</a>, 510-464-6439</p> <p>Raymond Fassett, Project Manager, Condon Johnson &amp; Associates (CIDH Subcontractor), <a href="mailto:rfassett@condon-johnson.com">rfassett@condon-johnson.com</a>, 510-636-2177</p>
<b>District Contact Person if different than Caltrans Lead:</b>	<p>Name and Title: <a href="#">Maurice El Hage – Office Chief</a></p> <p>Address (Use internal route tag identification, mail stations, etc.):  <a href="#">25100 Santa Clara Street Hayward, CA 94544</a></p> <p>Office Phone Number: 510-670-7828</p> <p>Cell Phone Number: 408-210-6777</p> <p>Email Address: <a href="mailto:maurice_el_hage@dot.ca.gov">maurice_el_hage@dot.ca.gov</a></p>
<b>Alternate Contact:</b>	<p>Name and Title: <a href="#">Jacobo E. Harrouch</a></p> <p>Office Phone Number: 510- 286-5208</p> <p>Email Address: <a href="mailto:jacobo_e_harrouch@dot.ca.gov">jacobo_e_harrouch@dot.ca.gov</a></p>



# I. CONTRACT DESCRIPTION

(3 Points)

Section I Word Count: 121

A) Type of Work:

Interstate Widening and Rehabilitation, from 4 to 6 lanes, including 3 new bridges, 14 bridge widenings and 12 retaining walls.

B) Size: (approximate dollar value)

\$100,500,000.00

C) Brief description of job site: (describe location and unique characteristics of contract site) Maximum 75 words

I-238 serves as a major commuter route and the single east-west freight connector between the ports of Oakland and San Francisco, and California's agricultural heartland. This critical corridor receives approximately 185,000 vehicles/day.

The project required bridge widenings over six main local streets and through five different communities. Additionally, construction was performed over UPRR and BART tracks. The site directly bordered residential, schools, military grounds, a cemetery, hotels, and urban shopping districts.

D) Partnering Initiation and Process:

- 1) Does your contract include the partnering standard specification that requires professionally facilitated partnering on all projects over \$10 million? ☐ Yes or ☒ No
- 2) Initial / Kick-off Workshop was: ☐ Self Facilitated or ☒ Professionally Facilitated
- 3) Was Partnering Skills Development Training held for the project team? ☒ Yes or ☐ No  
If yes, what topics were covered? (1 to 4 allowed per spec.)

Creating and maintaining a shared vision

Developing good communication and trust

Being open and candid in problem solving

If yes, how many team members attended? 17

If yes, Instructor name and company: Larry Bonine, Pinnacle Leadership Group, Inc.

4) Total number of Partnering Sessions held during contract: 8

5) Partnering Facilitator name and company, if applicable:

Same as (3)

6) Was a Partnering Close-out / Lessons Learned session held? ☐ Yes or ☒ No

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## II. LIST ALL STAKEHOLDERS

(5 Points)

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*(Identify entity and involvement or scope of work):*

**Section II Word Count: 160**

Owner: Caltrans

Local Agencies / Other Stakeholders:

**ACTIA** – Major Funding Agency

**Alameda County** – Major Stakeholder

**Parsons Brinckerhoff** – Designer

**Union Pacific Railroad (UPRR)** – Two main line track crossings

**BART** – Commuter heavy rail track crossings

**San Lorenzo High School** – Directly impacted adjacent school property

**City of San Leandro** – Several secondary and arterial road crossings

**Ashland Community** - Impacted residences

**CHP** – CoZEEP

General Contractor: Flatiron West, Benicia

Subcontractors:

AC Dike (AC dike)

ACL (concrete barrier)

AVAR (prestressing)

Brown & Fesler (electrical)

Cleveland Wrecking Co (demolition)

Condon-Johnson (CIDH)

Cone Engineering (soundwalls)

Con-Fab (precast/erect concrete girders)

Contractors Chemical (joint seal)

DGI-Menard (wick drains)

Diversified Concrete Cutting (Pavement joints)

Farwest Safety (roadside signs)

Harris Salinas Rebar (reinforcement)

Jeffco Painting & Coatings (paint structural steel)

Joe Heim (clearing and grubbing)

KCI Environmental (erosion control)

Linear Options (striping)

MBI (MBGR, overhead signs)

M.F. Maher (minor concrete)

Municon Consultants (photo survey, vibration monitoring)

Olivera Fence (fencing)

R.E. Serrano (concrete barrier)

Stoloski & Gonzalez (underground)

Watkin & Bortolussi (irrigation)



### III. WHY THIS CONTRACT?

(14 Points)

Describe why the contract should receive a Caltrans Excellence in Partnering Award. This may include challenges or obstacles overcome, awards, special efforts. Mention joint problem-solving examples or methods used. (Answer in 300 words or less. Note that the national Marvin M. Black award application limits this section to 250 words.)

Section III Word Count: 293

This contract is the perfect example of a team turning a difficult job around – and delivering a completed and quality project despite continuous obstacles.

The first year of construction (2006-2007) experienced multiple staging, survey, and critical path delays, putting the project over six months behind schedule. The teams agreed to resolve the issues and developed an **aggressive recovery** schedule; a completely re-envisioned CPM dubbed the “Go-Forward Schedule.”

The second year (2008) was about catching up despite continued construction impacts. The teams doubled the field crews and management resources to prepare new engineering solutions on demand and ensure implementation. For example, additional BART requirements were **met with cooperation and engineering innovation**. The team used high-early admixtures to reduce downtime. We also created new traffic and construction phasing plans to allow the critical path to proceed around delayed locations. To solve a ramp phasing/elevation bust, two separate six-month phases were combined into one specially obtained, weekend-long, freeway shutdown.

As the third year (2009) began, impacts continued. Largest was the need to field-fit the finish road grades to previous revisions at all retaining walls – an additional four months engineering and two months construction. The critical weather milestone for rubberized asphalt paving operations was in jeopardy of pushing the project into winter suspension. The teams created yet another **goal-oriented CPM** adopting resequencing, weekends, and early mobilization of key operations to maintain the paving milestones. All this was accomplished in-house, and the completely rehabilitated interstate, with additional capacity, was opened early – and **in time for critical regional transportation needs** when I-238 received all Bay Bridge detour traffic during two 2009 shutdowns. Awards Received:

2010 Caltrans Gold Award – Partnering Success-In-Motion

2010 AGC California – Excellence in Partnering – Projects over \$50 Million

2010 Tranny – Project of the Year – Best Interchange

# **CONTRACT RESULTS**

## **IV. OBJECTIVE CRITERIA**

**(46 Points)**

Section IV Word Count: 615

Explain each item in no more than one or two short paragraphs.

- A) Was a Partnering Charter prepared? Include a signed copy. **(5 Points, 0 if Charter not attached)**  
(Describe the process used to prepare the Charter.)

Yes. Our Partnering Charter was developed through a series of small group exercises promoting team building, communication and trust. The results of the group discussions were shared with other groups to develop consensus and charter elements.

- B) How were the goals of the charter evaluated or measured? Were they realized? **(8 Points)**  
(Describe the partnering evaluation process on this contract. Include sample copies of monthly partnering evaluation survey and results.)

Each goal was evaluated on a 4-point scale by monthly web-based survey. Scores and comments were then shared with the participants. Facilitated quarterly meetings helped to evaluate the team, and action plans were identified to improve cooperation and maintain the shared vision (see results at a glance).

They were realized! The first two goals were top priority – (1) **Create and maintain a shared vision**, and (2) **Maintain a good long term relationship**. The shared vision was always delivering the project early and without elevating any claim above the project level. The teams know that there excellent relationship, *maintained to this day*, will still result in timely and complete financial resolution at the project level.

- C) What was the safety record for all jobsite employers? **(8 Points)**  
(Include loss time injury.)

**Zero Lost Time Record** for all employers.

**1.03 Recordable Rate** Flatiron alone worked over 390,000 hours with a total of 2 recordable incidents.

Zero subcontractor recordables



- D) Did the contract come in at or under budget of contract allotment? **(5 Points)**  
(Provide planned cost vs. actual cost.)

The project came in above budget, and the actual cost is currently under determination.  
Budget Allotment = \$100,500,000.00      Actual Cost = approx \$103,500,000.00 TBD

- E) Did the contract come in on or ahead of schedule? **(5 Points)**  
(Provide contract working days + additional CCO working days vs. actual working days in the contract.  
Show all three numbers.)

Total Contract Days = 776 (706 working days + 70 CCO days)  
Actual working days counted = 776\*

\*note: **Construction was completed 4-months ahead of actual days counted**, but the clock was allowed to run out to allow time to obtain additional funding.

- F) Describe your issue resolution procedure and show evidence. **(5 Points, 0 if no evidence)**  
(Cite examples.)

The project implemented an escalation ladder procedure (see attached) in which issue resolution begins at the field level between inspector and foreman. Site meetings were held first to get a first-hand assessment of issues. Issues were tracked in weekly meetings, and critical issues were escalated to a separate weekly Management Issues Meeting.

When discussing an issue, the first focus was to agree on the solution that advanced the project – before any blame, merit, or payment was finalized. Example: BART engineering solutions, mechanical pile splices, and UPRR submittal review delays were all acted on prior to merit determination.

**Putting the project needs first** prevented most issues from becoming NOPC's, and aided resolution of all NOPC's before reaching the DRB (see final DRB minutes).

- G) How were potential claims resolved before contract acceptance? **(8 Points)**  
*(Provide brief descriptions and dollar values of resolved potential claims.)*

All NOPC's were resolved (see DRB minutes); Some continued on list past PFE due to funding issues. **Zero DRB hearings were required.**

NOPC No.	Description	Status
1	Additional ADL Excavation Limits	Resolved CCO#12 (\$274K)
2	Lane Closure Cancellation	Closed
3	CV CIDH Conflict	Resolved CCO#37 (\$4K)
4	Kent OH Steel Girder Fabrication Delay	Resolved CCO#30&#58 (\$200K)
5	DE-2 Survey Error	Resolved CCO#41 (\$6K)
6	Drainage Inlet 164-n Additional Depth	Resolved CCO#25 (\$4K)
7	Mission Widen Utility Conflict	Resolved CCO#16 (\$100K)
8	Differing site conditions RW#3	Resolved CCO#42 (\$6K)
9	Project Cumulative Inefficiencies	Resolution through pending supplemental CCO's
10	RW#12 CIDH Conflict	Resolved CCO#14 (\$60K)
11	Abandon Culvert DS#118	Resolved CCO#44(\$7K)
12	Temp Drainage at Lewelling A3	Dropped
13	Pile Delay at NECONN	Resolved CCO#48 (\$49K)
14	Furnishing Signal Heads	Resolved CCO#66 (\$14K)
15	Furnishing GPRS	Resolved CCO#66 (\$14K)
16	Loss of Water Supply	Resolved CCO#140 (67k)
17	Sales Tax Increase	Dropped
18	Grade Revisions	Resolved CCO#133
19	Relief of Maintenance	Resolved, actual cost tbd
20	Item Payment Deductions	Resolved in items
21	Additional Striping	Resolved CCO#126 (\$150k)
22	BN2-BN3-BN4 Stage Conflict	Resolved CCO#128 (\$110k)
23	St2Ph2 Conflict	Resolved CCO#131 (\$64k)
24	Revised Temp Bridge Conform	Resolved CCO#136 (\$196k)
25	TBS1 Asphalt Performance	Resolved via Independent QC/QA (\$62k)
26	FOO Portion of NOPC #9	Resolution through pending Supplemental CCO's

- H) How many claims were filed on the contract after Proposed Final Estimate (PFE)? **(2 Points)**  
*(Provide brief descriptions and dollar values.)*

Five, due to funding issues that had prevented final review and authorization of amounts in change order format. NOPC's #9 \$2.7M, #19 \$196k, #22 \$251k, #25 \$123k, #26 \$2.4M (original values)



## V. SUBJECTIVE CRITERIA

(32 Points)

Section V Word Count: 739

Explain each item in no more than one or two short paragraphs.

- A) Describe how trade/craft foremen and workers were involved in the project partnering process. (5 Points)

The foremen and inspectors attended special facilitated workshops to address work ethics, personality conflicts, and write down agreements and rules for how they would conduct business.

Foremen and craft workers were empowered to meet directly with Caltrans inspectors to coordinate daily, resolve problems, and track changes and disputes (see flow-charts developed in partnering meeting).

- B) Describe how subcontractors were involved in the project partnering process. (5 Points)

Besides completing monthly surveys and attending the barbecues, subcontractors contributed to partnering by troubleshooting issues in the field or at the meeting table. Subcontractors brought their best ideas to the table and were more than willing to rearrange work sequences, troubleshoot, and overcome difficulties to keep the project moving forward, often reducing cost.

- C) Describe project relations and on-going relationships with key stakeholders. (4 Points)  
(Supply testimonial letters if possible.)

ACTIA, Bay Area Rapid Transit (BART) and UPRR were key stakeholders that interacted daily regarding work above and around their structures. At both field monitoring and project management levels, the team fostered relationships that allowed success. The core team held meetings with BART RE's to develop work plans addressing the agency's needs and policies, and provided presentations to BART management to win confidence prior to critical crane lifting operations over BART tracks (see testimonials).

Caltrans partnered with the community to improve facilities by attending group meetings for towns, schools, and HOA's for project updates and to hear concerns. Caltrans and Flatiron made accommodations to work schedules, as well as improved existing site drainage problems for adjacent condo buildings and homeowners.

- D) Explain how the project partnering process was instrumental to the successful completion of the project. (5 Points)

The project encountered many significant challenges. At two critical points, the management teams considered suspending work as no work could proceed at any meaningful location. Partnering on this project was focused on solutions and improvements, not only disputes and cost assignment. The teams called special partnering sessions for engineering, surveys, final grades, leadership, trust, communication, as well as disputes.

**The team management drove home reminders to staff the shared vision:** to complete the project ahead of schedule with no claims. The team looked beyond disputes at hand, and focused on how to accomplish the goal together. This was evident when the DRB meetings contained no disputes. The DRB Chair recalled how the RE stated at the project start that there would be no claims for the DRB, and this held true.



- E) Identify any innovative ideas that evolved through the project partnering process. **(6 Points)**  
(Examples may relate to cost savings, value engineering, improved productivity, quality, etc.)

Cost savings:

The team eliminated the need for off-site disposal of the additional contaminated soil by obtaining a variance for on-site disposal at a proposed borrow location, resulting in over \$1,000,000 cost savings.

Design Quality:

Fabricated steel girder camber shapes, connections and loading sequence were enhanced via a joint brainstorming session with Caltrans, Parsons, and Flatiron engineers, and the fabricator.

Value and Safety Engineering:

BART protective cover was not feasible as specified. Caltrans and Flatiron engineers collaborated to develop a system of pre-assembling girders and a suspended protective cover, thus limiting piece-by-piece hoisting work over BART to one crane pick rather than several weeks of potential BART revenue train exposure. The innovation also came with a net \$150,000 cost savings.

Schedule:

To work around locations delayed by CCO work, the team drew up and implemented over a dozen revised traffic phasing plans and two CPM revisions to mitigate the schedule.

Quality:

The design base survey did not match existing conditions. A finish grade revision "task force" was comprised to record and adjust all tie-in grades, cross slopes and profiles. The final ride is smooth and pleasant.

- F) Discuss details about how you attained overall contract quality beyond what was specified in the contract. **(4 Points)**

1. Signal light modification at two different intersections to improve driver's visibility.
2. Structural section of shoulder on I-880 was modified to increase the load bearing capacity.
3. Placed polyester concrete to correct depression in the existing bridge deck at Lewelling Bridge to correct an existing condition and avoid hydroplaning during rainstorms.
4. For the adjacent school district, planted a visual barrier of redwood trees along the ROW, as well as addressed school safety concerns by adding a concrete truck barrier along the school grounds.
5. Rearranged sequence of final paving, temp striping, and TOS loops so the final pavement is free of temp striping removal and loop cut scars.

- G) List any teambuilding activities. Describe any unique motivational activities employed. **(3 Points)**

Management recognized team members during monthly Owner or Contractor hosted barbecues. This time was used to reiterate the vision, and recognize good processes and the hard work of individuals.

Teambuilding included group trivia contests, pyramid and tower building, amazing race events and skits, as well as occasional outings to a ball game.

These exercises built camaraderie, and we still hear battle cries for "Go Brown Team!" or "Go Fire Team!" demonstrating that the activities broke down the traditional owner-contractor boundaries and created new team relationships.



## VI.BONUS POINTS

(Up to 4 Points maximum)

Section VI Word Count: 69

- A) Explain any special adaptations or refinements that were actually made to improve the project partnering process to fit this particular contract.  
*(This may relate to the frequency and type of meetings; specific process implementation methods; how the facilitator, field staff, subcontractors, executives, and other stakeholders were involved; evaluation methods; techniques used to keep team members engaged, etc.) (2 Points)*

Partnering sessions were targeted for specific goals. Meetings were tailored for certain subjects and involved the right people, whether facilitator, engineers, designers, executives, schedulers, surveyors, etc. These meetings always ended with an action plan and time table.

- B) Offer your ideas of how the project partnering process could be improved, which would have benefited this project and may benefit future partnered projects.  
*(This may include ways to improve the whole partnering process, ways to optimize process implementation, lessons learned to date (good and bad), and actions you will take in future projects.) (2 Points)*

Next time we will make the goals include improving quality and process, and collect regular suggestions for how to improve various project elements, perhaps including contest/rewards.

- C) What is the average participation level of your project's Monthly Partnering Evaluation Survey throughout the life of the project?  
*(This is the monthly average number of team members that completed the survey compared to the monthly average number of team members invited to take the survey. Show both numbers and the percentage. If your project partnering has been professionally-facilitated, then your partnering facilitator should be able to provide this info.) (2 Points)*

7.6 out of 12 = 63.3% participation.

Total Application Word Count: 1,997 (Sum of Sections I through VI)
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*John Woo*

## PARTNERING CHARTER

We, the members of the I 238 / 880 Alameda County Project Team, through trust in each other, mutual cooperation, and frequent, open and honest communication will create a successful and enviable partnership.

We will make every effort to earn the respect of our fellow team members, stakeholders and customers. We will be respectful of other team members and their ideas. We further commit to timely identification and resolution of issues, we will keep a clear focus on teamwork, and we will produce a team that we will all be proud to have been a part of.

### OUR GOALS WILL INCLUDE:

- ◆ Create and maintain a shared vision
- ◆ Maintain a good long term relationship
- ◆ Have quality workmanship
- ◆ Make safety a priority
- ◆ Recognize that there are different perspectives
- ◆ Ensure a good relationship with the public
- ◆ Maintain a positive attitude
- ◆ Answer and respond to calls promptly
- ◆ Have mutual respect for team members
- ◆ Create a current work schedule with dates
- ◆ Being trustworthy
- ◆ Have a level of trust and responsibility with one another
- ◆ Maintain openness and candidness with one another

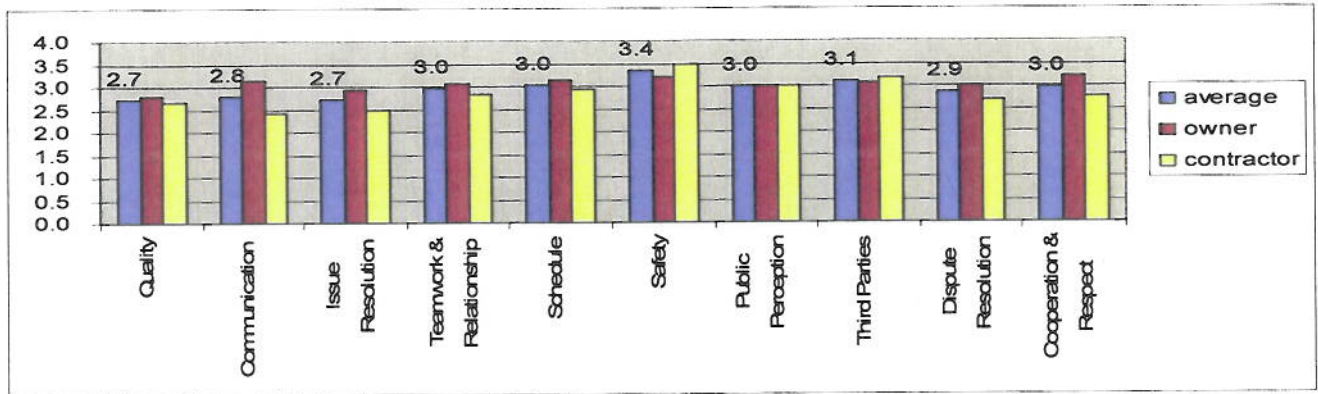
*Joseph Belmont*  
*Salma*  
*Michelle*  
*J. Chadha*  
*Jay Smith*  
*John King*  
*John King*  
*John King*

*John King*  
*Bharat Patel*  
*Ron Richardson*  
*Sammy Thayer*  
*Richard Mayer*  
*Raymond A. Fasset*  
*Stephen Williams*



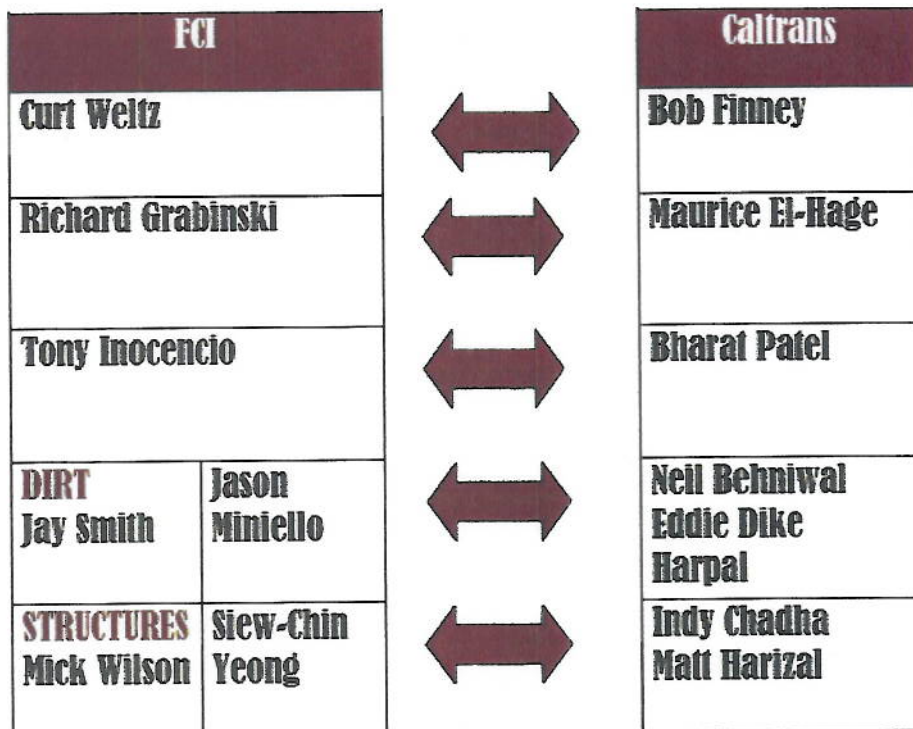
## Example of Monthly Partnering Results – section IV-B

### Monthly Results at a Glance



## Project Issue Escalation Ladder – Section IV-F

### PROJECT ESCALATION LADDER



DEPARTMENT OF TRANSPORTATION

Hayward Construction Office  
23100 Santa Clara Street  
Hayward, CA 94542  
TEL (510) 870-4813  
FAX (510) 870-4914



## I-238 WIDENING & REHABILITATION

Caltrans project 04-249044

### Minutes of 11<sup>th</sup> Dispute Review Board Meeting - December 7, 2009

Meet 1000 to 1130 hrs plus site tour.

1. Meeting Opening

- Attendees List – See Attachment A
- Minutes of 10<sup>th</sup> DRB Meeting of July 14, 2009. See Attachment B
- Caltrans Project Status Information table distributed by B. Patel, RE. See Attachment C
- CCO Log distributed by B. Patel, RE. See Attachment D
- Contractor Project Summary distributed by R. Ferrouge of FWI (Flatiron West, Inc.) See Attachment E
- NOPC Log, NOPC #17 and NOPC #18 distributed by B. Patel, RE. See Attachment F

**APPROVED**

2. Meeting Minutes

- The minutes of the July 14, 2009 10<sup>th</sup> DRB Meeting (Attachment B) were approved.  
(The draft minutes had been previously distributed to all parties by email.)

3. Remarks by Caltrans

A. Schedule (See Attachment C)

Project completion date per WSWD is currently March 19, 2010. B. Patel, and R. Ferrouge and A. Inocencio of FWI, agreed that FWI expects to finish project early.

Project is currently near 99% complete on expenditures (including CCO work) at 90% of extended contract time for completion. Only minor electrical, roadside signs and punch list items remain.

B. CCO Log (See Attachment D)

CCO Log currently shows 129 identified CCOs. Of these, 112 CCOs have been or are in the process of approval and are billable. Other CCOs are currently in various stages of approval or negotiation with FWI or with subcontractors for scope and cost. Color code for CCO Log distinguishes between those approved and those in various stages of preparation.

There are currently no CCOs in dispute.

C. Proposed Changes

There are currently no "controversial" CCOs.

D. Problems and Solutions –

Caltrans R.E. is currently seeking additional project funds to make final agreed bid item and CCO payments. May be 2 to 3 months before Proposed Final Estimate is issued.



4. **Remarks by Contractor's Representative (Flatiron West, Inc) See Attachment E**
  - A. **Work Accomplished to Date**

Work is substantially complete except for minor electrical and testing, roadside signs, MBGR, AC dike, MSE inspection rods and punch list items. Traffic is open on all lanes, ramps and connectors, and the public is pleased.
  - B. **Current Work Schedule**

All work is scheduled to be completed in December except roadside signs which are on backorder
  - C. **Schedule of Future Work**

Completion of punch list and Project Acceptance will likely be in January.
  - D. **Problems and Solutions**

Completion of negotiations for payment of outstanding EWBs.
5. **Disputed Issues (NOPC Log - Attachment F)**

Only NOPC #17 is pending final resolution. FWI is asking for \$125,000 to compensate for recent 1% increase in State sales tax. This is a "global" request by contactors around the State. Current State response is "No Merit" based on Standard Specification Sections 7-1.01, 7-1.03 and 9-1.02, as well as the California Constitution, Article 4, Section 17. Final State response on this issue is uncertain. There are no other open NOPCs. Baker urged FWI to consider asking for hearing on NOPC #17 just to be on record. But no issues can be brought before DRB for hearing is within 30 days of Project Acceptance. DRB is terminated once Acceptance issued. Claims after Acceptance go to Caltrans Board of Review, then to Arbitration if not settled.

Tony and Bharat agree no specific dispute justifying continued use of DRB, just delay in payment process.
6. **Next DRB Meeting**

Agreed this is last DRB meeting for this project.
7. **Tour of Project**

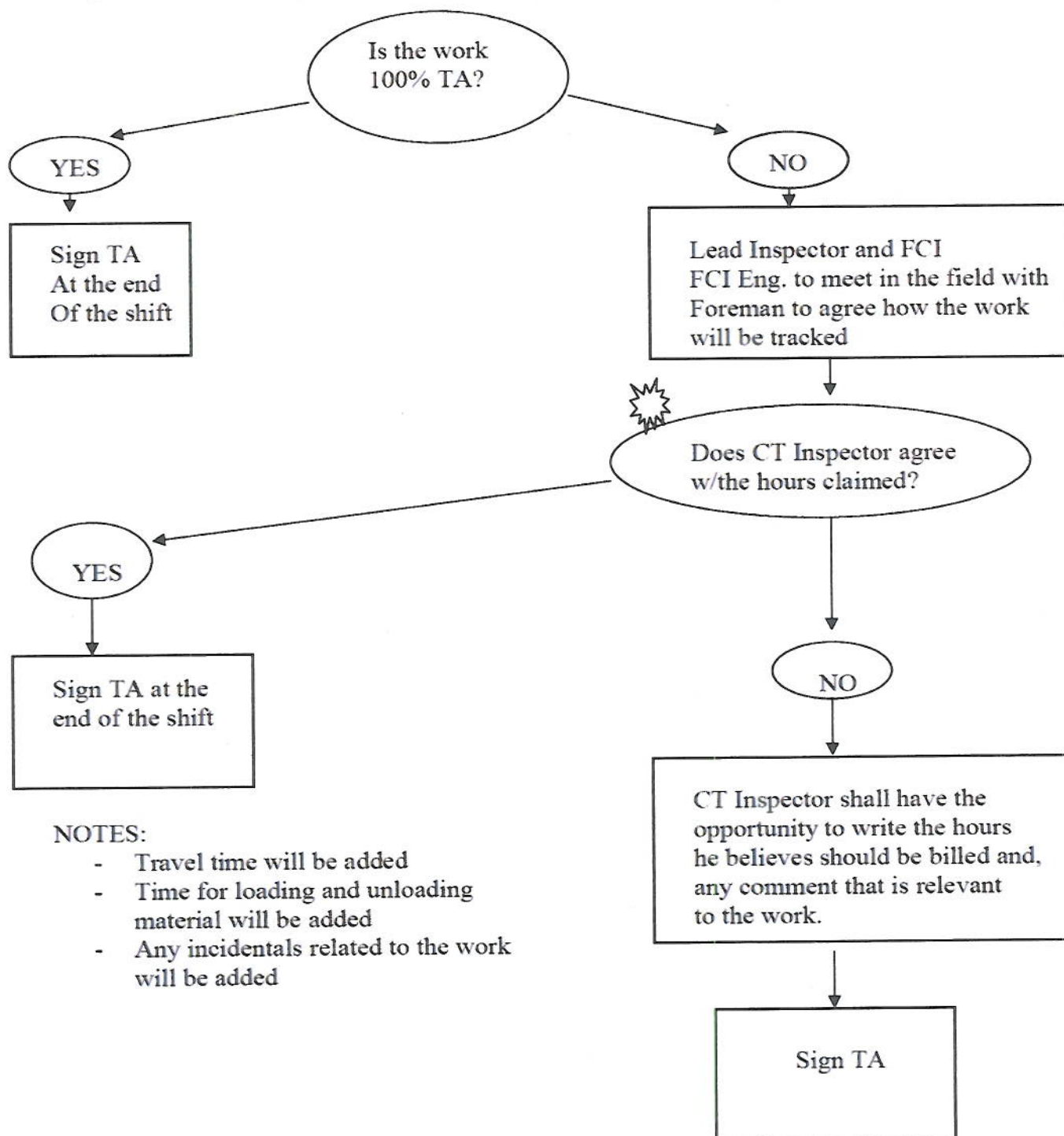
None

END

# PROCEDURE FOR AGREED TA WORK

## Assumptions:

- FCI/CT agreed that the work is Extra
- CCO# has been assigned or will be assigned
- 

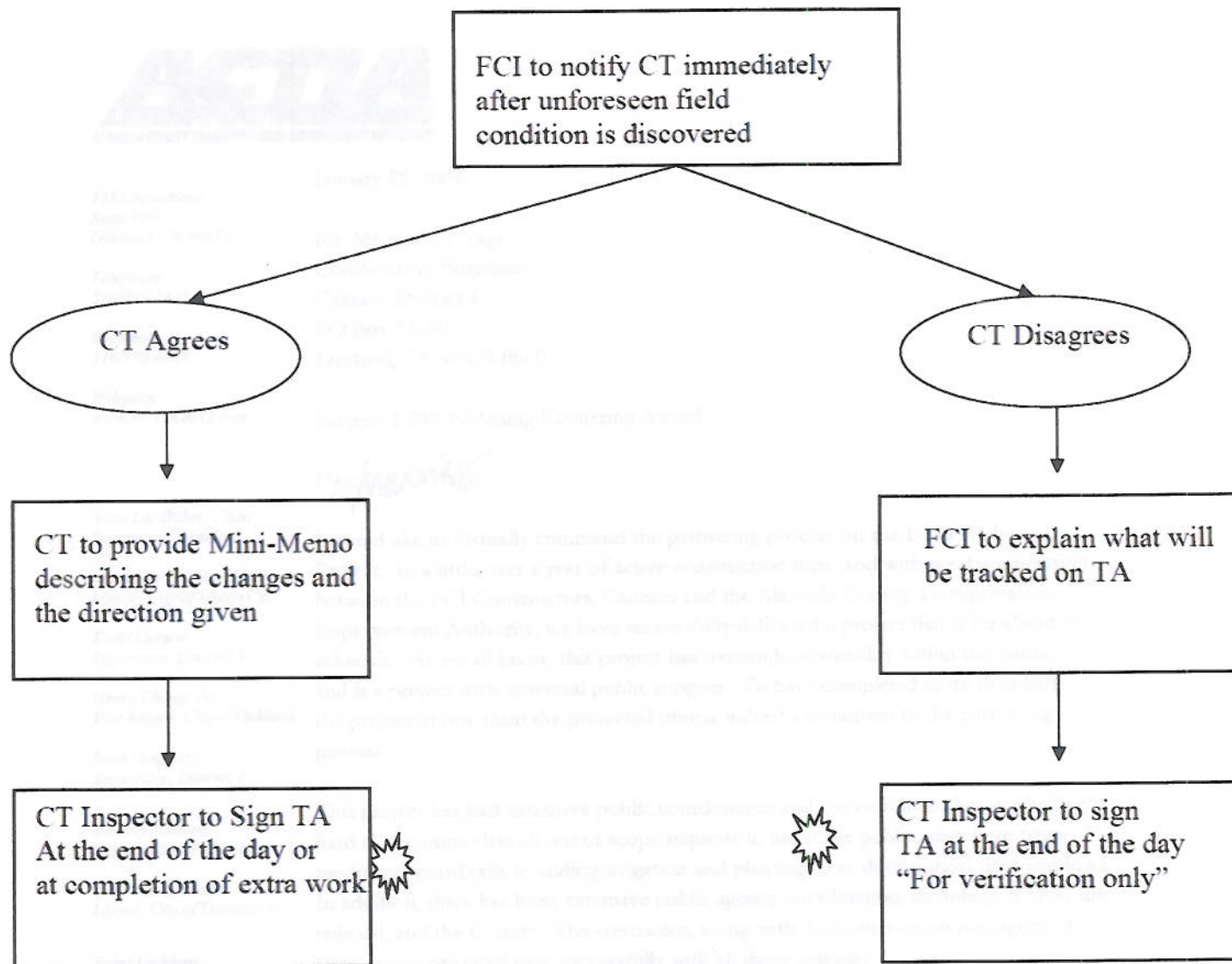


## NOTES:

- Travel time will be added
- Time for loading and unloading material will be added
- Any incidentals related to the work will be added



### FCI ENCOUNTERS A FIELD CONDITION THAT IS CONSIDERED EXTRA



#### NOTES:

If there is disagreement on the hours tracked, follow the  at page 1 of 2 of these procedures

#### Assumptions:

- CT to inspect 100% of the work being tracked
- TA's cannot be taken for review. The work either happened or it did not

## Testimonial from Bay Area Rapid Transit (BART) – Section V-C

**From:** Edwin W Kung [EKung@bart.gov]  
**Sent:** Friday, October 23, 2009 3:17 PM  
**To:** Bharat K Patel  
**Cc:** Ferrouge, Robert; John Fu  
**Subject:** Excellent Work

**Follow Up Flag:** Follow up  
**Flag Status:** Red

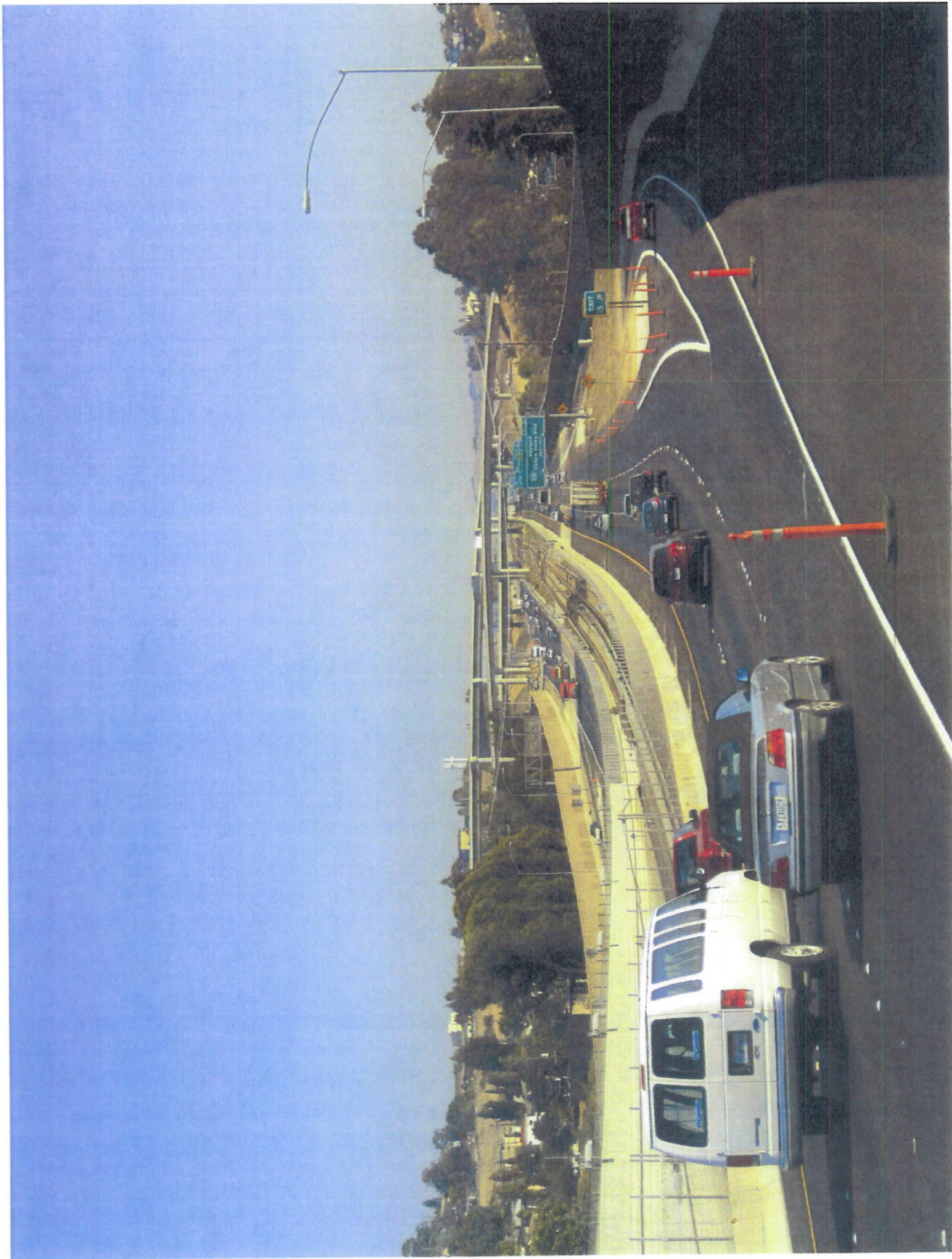
The I-238 was understandably a rather complicated Caltrans project especially related to the BART sensitive areas. But all parties worked together to ensure that BART's concerns were addressed.

During the course of construction for the I-238 Widening Project, both Caltrans staff and Contractor were cooperative to ensure that BART's safety rules were not violated. Contractor submitted SSWP as required for all works that might impact BART's operations. Caltrans and Contractor also submitted design calculation/drawings for BART Engineer's review and approval. BART staff was also invited to meetings for works related to BART structures/facilities. All submittals were provided in a timely manner. And most important, there wasn't a single case that BART's mainline services was interrupted by Contractor's activities!

Overall, Caltrans and Contractor have done such a superior job to keep BART informed and involved along the way, and in the same time to maintain the integrity and safety of the District's revenue train services! Thanks.

Sincerely,  
Edwin Kung  
Manager,  
Civil-Structural Engineering and Construction BART















# Caltrans

## Excellence in Partnering Award

### Applicant Survey

The Statewide Partnering Recognition Team is committed to continuous improvement. Your feedback as our customer is extremely important. Please take a moment to complete this survey, and **return it with your award application**. The information you provide will be used to improve next year's Contract Partnering Recognition.

Please indicate your reaction to each of the following:

	Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree
Partnering is making a difference in my district.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Caltrans Excellence in Partnering Award Application was easy to understand.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Application 2000-word count limit was enough space to explain the contract's Partnering process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Our contract team was given enough time to provide the requested information.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partnering in my District/Division/Region is well advertised.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add any additional comments you feel are appropriate to help us improve:

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Please offer your ideas for improving the Caltrans Partnering Program overall. This may include suggestions regarding joint or individual training, guidance material, tools, awards and recognition, etc.

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Optional:

Name: \_\_\_\_\_ Organization: \_\_\_\_\_ Phone: \_\_\_\_\_

**Please enclose this survey with Partnering Award Application.**